Frequently Asked Questions (FAQs)

1. How do I File Electronically?

- Click on "Start Filing";
- Complete form with appropriate information;
- Click the "Browse" button to select file to upload;
- Submit additional files as necessary;
- Click "Finished Sending";
- Review the "Files Sent" page, modify your information if necessary, and then click "Complete Filing"; and,
- Print Receipt for your records.

2. What happens after I finish eFiling?

- The eFiling Web Portal assigns a Transaction ID and a "eFiling Number" per electronic submission;
- The eFiles are imported into the Department's electronic document repository for review by the Department's eFile clerks;
- Upon acceptance, an e-mail notification is sent; and,
- If the eFiling is deficient and requires correction, you will receive a deficient e-mail notification.

3. What is the maximum file size I can upload?

The maximum file size is 15 Megabytes (MB) per electronic submission. You may submit several eFilings for submissions larger than 15 MB.

If this situation does occur and you do need to submit several eFilings that need combining, please send an e-mail to helpefile@dmhc.ca.gov indicating the Transaction IDs of each of the electronic submissions. The eFiling Administrator will merge those referenced transactions and rename the combined submission with the eFiling number of the first electronic transaction.

4. What file types can I send?

- Microsoft Word Documents (*.doc)
- Portable Document Format (*.pdf)
- Tag Image File Format (*. tiff)
- .doc, .pdf, or .tiff files compressed with WinZip (*.zip)

5. How do I submit a .pdf file?

Submitting a .pdf file requires software capable of generating and manipulating .pdf documents. Such applications include Adobe Acrobat (Full Version, not the Reader) and Adobe PageMaker as well as a host of third party applications.

A duplicate set of .pdf formatted barcodes has been added to the eFiling website for downloading to your workstation. To submit .pdf files, utilized the barcodes from the .pdf directory. Ensure that the resulting file is composed of the .pdf barcode on the page first, a page break, and then the original file.

In addition, if scanning a document into Adobe with a .pdf or .tiff format, utilize the Word (.doc) barcodes.

6. How does the Department want redlined, or strikeout and/or underlined and clean versions of exhibits filed?

They should be submitted as two (2) documents (each with its own barcode) under the same exhibit, same barcode for each.

7. In filing an amendment with exhibits that contain more than one

document, what is the proper procedure for identifying the documents contained in a file?

A cover page located immediately after the barcode listing the documents contained in the exhibit is adequate.

8. How should plans communicate special instructions to the eFile clerk?

A cover letter to the eFile Clerk barcoded as such is appropriate.

9. Has the required information for Exhibit E-1 – Summary of Filing changed from how we used to file in paper?

No, with respect to content. However, administratively, a couple of changes have taken place. Utilize the new downloadable template for the electronic submission of this exhibit. In addition, the exhibit's description has changed to reference electronic submissions: *Exhibit E-1 – Summary of **e**Filing.*

10. How do I submit maps after January 1, 2002?

Utilize .pdf or .tiff images when submitting maps. Alternatively, embedding it into a Word document utilizing other file formats such as .gif and .bmp. The image still needs to be barcoded properly for submission.

However, if the map is an odd size or scanning it is impossible, please mail us the map. Plans will not be required to buy special software to accommodate transmitting maps electronically.

Please e-mail the Department at to inform us of the hard copy submission. The eFile clerk will have special instructions for the hard copy submission.

11. How do I submit paper documents received from an external party?

Please scan your paper documents for electronic submission. Once you have the electronic version, format the file into a Word document for the Department's retrieval.

Note: Please be advised that scanning is the responsibility of the Health Care Service Plans.

12. Is informal communication between the Plans and Department's Staff Counsel (e-mail and voice) going to change because of eFiling?

In electronic document management, all communications between the Department and Plans regarding eFilings will still occur. These types of correspondence exchanges will be kept and associated with each eFiling affected as a word document and the filing or each document given status as either public, or if agreed, confidential.

The Department will still engage in informal communication such as e-mail and telephone calls. Associating this type of communication to the eFiling, utilizes Word documents to record the information exchange.

13. Will I receive an email notice after the Department's File Clerk accepts the filing?

Yes. Once a filing is accepted, the Department's File Clerk sends a confirming email indicating the acceptance date and filing number.

14. Regarding acceptable file formats, we will likely need to submit files in TIFF (*.tiff) format when scanning hardcopy documents. Is that an acceptable file format for electronic submissions? (This seems to be a duplicate of question 4.)

Yes, the Department has added .tiff as an acceptable file format.

15. Can I include a zipped file within another zip file?

No. Files within a zip file should not be zipped.

16. Where or who do I direct all my eFiling questions? For questions regarding eFiling, e-mail the . Departmental staffs monitor this address to ensure a prompt and accurate response.

17. What form template(s) provided for in the eFile download require(s) an actual signature on the form when submitting as part of an eFiling?

The only template that requires a scanned signature is the Exhibit F-1-f Template. To submit this template with the individual's signature, do the following:

- Obtain the signature necessitated by the form;
- Scan the document into a .pdf or a .tiff document; and,
- Submit it electronically as part of your eFiling.

18. Are all eFilings considered public information once submitted?

Yes. However, confidential documents will not be available to the public.

19. What happens if we use file type (.pdf) for one document in a filing, a map for example, and submit the other documents as Word (.doc) files. Can we have more than one file format inside a single filing?

You may include multiple file formats in a single filing. Just be sure you have properly barcoded each document.

20. If our servers are down and we have a filing due, what do I do? Do I file in paper if I promise to electronically submit the document once the servers are back up?

No. Do not send hard copy filings. If you experience the situation you just described, contact , explain your situation, and give a time estimate as to when your equipment will be up and running.

21. What scanner settings does the Department require or recommend?

There is a wide variety of scanning equipment deployed throughout health care service plans in California. It is not practical for the Department to successfully advise individual plans on how to configure or operate their equipment.

Please remember that submitting electronic documents in filings via the Department's eFiling Web Portal, unless requesting confidentiality, will be stored for the public to access. As such, they need to be clear and legible. If you are able to easily read electronic documents you create before you file them with the Department, it is reasonable to assume that the images will be acceptable to the Department.

To minimize chances for problems in this area, the Department suggests:

- Dots Per Square Inch (DPI) setting of 200; and
- Use Black and White print settings, not Grayscale.

Once you have scanned a document, please look at the resulting document image on your screen. If the document appears clear and legible to you, then it will probably be clear and legible once imported into our system.

Utilize original documents when scanning for electronic submission. Photocopies of faxes and reproduced photocopies degrade the appearance and are not readable in our workflow system. Scanned images of newspaper or magazine advertisements originally printed on a non-white background are also a problem. If your equipment and software allows you to enhance or clean up a questionable image, please do so.

22. Can I submit an electronic filing with an Adobe Acrobat (.pdf) document embedded in a Word (.doc) document or vice versa?

No. The Department would not be able to access and/or open the eFiling if you embed a .pdf document into the Word (.doc) document or vice versa.

23. Should I protect my documents before I eFile them with the Department?

No, this can cause problems when the Department imports the documents. The Department prints the documents using a .tiff driver to make an image of the document. Any security settings you employ, such as using the MS Work "Protect Documents" feature, or changing the attributes of the document file itself to read only, can disable our ability to print your document. .

Once the Department has converted your document into a .tiff image, it cannot be altered; thus, providing the security that may have been your initial objective.

24. What documents and/or Exhibits, are required to be included with each eFiling?

Unless otherwise notified in writing by the Department's eFiling Coordinator, all eFilings are to contain the following items:

1) Execution Page; and,
2) Exhibit E-1 Template (narrative summary of the contents of the eFiling).

Although not required, a cover letter addressed to the Department's eFile Clerk with clear, concise information regarding the eFiling proves for faster processing.

If you choose to include a cover letter with your eFiling, the following lists information to include in the cover letter that will aid the eFile clerks in a prompt review of your eFiling:

1) Current date (Date sending eFiling);
2) Complete subject regarding eFiling;
3) Plan name and contact information (Person to be contacted regarding eFiling);
4) Information requesting any special handling the eFiling may require. For example:

(This is in response to Mr./Ms. _________ comments; however, please route to Mr./Ms. ______ as he/she will be completing the review of this eFiling.);

5) Type of eFiling (Application, Amendment to Application, Material Modification, Amendment to Material Modification, Amendment, and Amendment to Amendment, etc.); and,

6) Providing accurate associated filing numbers for the following types of electronic submissions:

   a) corrections to defective eFilings; and,
   b) amendments to previous submissions.

   The eFile Clerk will assist you by indicating which of the following types of electronic resubmissions is required:

   c) Replace and resubmit the eFiling in its entirety; or,
   d) Submit only the portion of the eFiling that was defective. For example, a new Execution Page to correct inaccurate Exhibit references, wrong dates, and/or renaming contact person(s) to indicate appropriate responsible staff.

25. When I need to submit a redlined version of a document, do I strikeout my document's changes in "Red"?

No. After importation of eFilings into the Department's workflow system, if color is utilized in any of the documents, the text will whiteout and render it unreadable. “Black" is the most user-friendly color to use for any of your eFiling's font color, strike-out and/or any other format changes needing to be submitted electronically.

26. If I zip my eFiling, can I change the attributes of the included document(s) to "Read Only" to preserve security and confidentiality? What about for eFilings that are not zipped?

No, to both questions. Changing the attributes of documents to “Read Only” render the documents inaccessible; meaning they are unable to be opened for Departmental processing.

As stated in a prior FAQ regarding password-protected documents, there should not be any concerns regarding the security and confidentiality of electronically submitted documents. 128-bit encryption protects the Department's eFiling web portal. This provides for the utmost secure environment for electronic submissions.

27. How do headers and footers affect the barcode when you add a barcode to the document?

Headers and footers will not affect the barcode. The barcode will read correctly as long as the barcode font (the middle section of the barcode file) is visible.

28. I loaded the barcode font file on my computer and somehow it did not work. Only numbers appear on the barcode files.

For your monitor to display the barcode, you must have the barcode font installed on your computer in the font directory. To load the barcode font file in the proper directory, follow these instructions.

Note: The user that is loading the barcode fonts may need local administrator privileges depending on the level of security in your organization.

Copy the barcode font to WINNT\fonts directory in the case of a NT/2000 machine, or the Windows\fonts directory for a 95\98 machine. Having this font installed on a workstation will allow a user to view the barcodes.

29. How do I send both clean and redlined versions of our Chiropractic and our Acupuncture Practitioner Agreements (we are a specialized health plan and these are the practitioners who make up our panels in California). Which Exhibit K-1 barcode do I use?

Send both clean and redlined versions of your Chiropractic and Acupuncture Practitioners Agreements under "Exhibit K Generic" barcode.

Note: A generic barcode is available for each Exhibit (E thru II); however, utilize this generic barcode only if your filing does not fall within the parameters of the other outlined descriptions.

30. Would both the Chiropractic and Acupuncture agreements be "Standard", or would the Chiropractic agreement be "Standard" and the Acupuncture agreement be "Varied"?

This would be up to the Plan's filer. For instance, if it were your standard Acupuncturist agreement it would be "Standard". However, if, on the other hand, you changed an agreement specific to an "Acupuncturist" it would be a "Variation". Please refer to 28 C.C.R. Section 1300.51K.

31. Would I use the same cover for both the clean and redlined versions, and distinguish the two with the file names I give them?

Yes, each document should be barcoded. (The barcodes will be the same.)

Note: Barcodes must be on their own pages followed by a page break.

32. Which barcode do I utilize if our Plan does not make distinctions between "Large Group" and "Small Group" designations?

Utilize the "Exhibit P Generic" barcode if your Plan does not make distinctions between "Large Group" and "Small Group" designations.

Note: A generic barcode is available for each Exhibit (E thru II); however, utilize this generic barcode only f your filing does not fall within the parameters of the other outlined descriptions.

33. Regarding the "Exhibit P" barcodes: While we do contract directly with employer groups in some areas, we also contract on a carve-out basis with full-service HMOs. We call these "carrier" contracts and utilized Exhibit P for this purpose. However, I do not see a barcode specifically for this type of document. Which one should I use?

Utilize the "Exhibit P Generic" barcode for your "carrier" contracts.

Note: A generic barcode is available for each Exhibit (E thru II); however, utilize this generic barcode only if your filing does not fall within the parameters of the other outlined descriptions.

34. We have a quarterly undertaking, which we file as an amendment to just plain "I" (no "N"), and a quarterly grievance report, which we file as just plain "W". I do not see barcodes for those. What should we use?

Use the barcode designated as "UT002" for quarterly undertakings. In addition, under Item “W" the barcode that is to be used for the Quarterly Grievance Reports is the W-6, designated as "1300.68 Quarterly Grievance Report".

35. Why is there more than one barcode with matching descriptions except for a number? How will users know which barcode to use?

The barcodes have been split-out for all variations of filings. Therefore, choose, only the one that is specific to your filing. In the event your filing does not fall with the specific descriptions, use the generic barcode specific to that Exhibit.

Note: A generic barcode is available for each Exhibit (E thru II); however, utilize this generic barcode only if your filing does not fall within the parameters of the other outlined descriptions.

36. How do I file a redacted or otherwise confidential document? In addition, when sending an exhibit that confidential treatment is being requested, which barcode should be used, the barcode for the type of exhibit, or the "Request for Confidentiality" barcode?

Submit a redacted document with the "Request for Confidentiality" (MSC04) barcode. In addition, do not format documents to contain two barcodes within the same document. To designate the document, utilize the "Request for Confidentiality" (MSC04) barcode. Otherwise, the exhibit will go to the public file.

37. Occasionally, I need to submit documents requiring specific barcodes for the type of exhibit I am submitting. (Example, our plan submits the same "Evidence of Coverage" for both large and small groups.) In those cases, how do I barcode those documents?

In cases where a specific barcode is not available, use the generic exhibit barcode provided for each basic exhibit type.

38. Can I print a barcode and then scan it in with other hardcopy documents?

Yes, you can scan printed barcodes. Please follow these general guidelines:

Always use a current barcode (available from the eFiling website).

Select the barcode from the Word barcode directory. Both barcode directories are identical, just referenced with different file types. Word barcodes are created electronically while the .pdf barcodes are first-generation scans. The difference is that the .pdf versions are slightly less sharp. Scanning them again, creating second-generation images would degrade the image further, perhaps making them unreadable.

Adjust the scanner filtering for the clearest image possible. Request assistance from your information systems staff for proper settings.

39. Why do I need a separate page for the barcode?

The barcode server deletes the barcode page once read. Therefore, barcodes must appear on a separate page.

40. When I open either the Execution Page form or the Notice of Material Modification form the characters "FORMTEXT" appear on each of the form fields. How do I turn this feature off?

Un-enable "View Field Codes" on your machine. To do this, go to the "Tools" menu in Word and select "Options", then the "View" tab. Unclick the "Field Codes" checkbox and Click "OK". Make sure you follow these instructions before you open either of the forms.

41. On the Execution Page, what fax number/email address should be listed in Sections 2D/E, Identification of Plan?

Indicate the contact person regarding the eFiling in both the fax number and the email address fields. This contact person will receive communications regarding acceptance and deficiencies regarding the eFiling.

42. It appears the Execution Page does not have the "Exhibits to Plan License Application" section that was included in the paper Plan License Application. Execution Page. Why does the template's electronic version omit this informational section.

This section has not been excluded. Section A5 of the Execution Page should list the exhibits contained within your eFiling. The Department's eFile Clerk will cross-reference the list against the actual barcodes utilized in your eFiling.

43. Does the Execution Page have a field for our internal filing number? May we add that field to the eFile form?

No to both questions. The eFile Execution Page complies with the regulations. Therefore, modification to the form does not allow for the input of a plan-specific internal filing numbers. Besides, the password protection prevents modifications by anyone other than departmental eFiling personnel.

44. The templates we downloaded from the Department website appear to be Microsoft Word forms, protected by a password. Can the Department give a plan the password so the plan can modify the form? Alternatively, could the Department send an unprotected version of the template to the plan?

No. The templates are in strict conformance with applicable law and regulations. If the form does not provide for the information required, include an additional document that acts like an attachment and appropriately barcoded with the exhibit's barcode.

45. As the Plan's Authorized Representative, why am I no longer required to sign reports and other such documents?

Only documents requiring recognition of notarization, (e.g., out-of-state Exhibit F-1-f Template) need signatures from Authorized Plan Representatives. The eFiling regulations require that **all** Knox Keene filings be submitted electronically and must include an electronic Execution Page.

For those instances when an Execution Page is not a required document for a particular type of eFiling, the Signatory's signature on the Department's hard copy of the Electronic Filing Verification Signature Contract will take precedence. An example of this type of filing would be a ***correspondence only*** filing, which no Exhibits are included.

46. Does the use of the Department's website with an assigned name and password provide enough security against hackers, especially for our confidential data? Do I need to encrypt documents in my zipped file?

Utilizing 128-bit encryption, your browser encrypts files sent electronically. The Department decrypts those same files behind a firewall located at our eFiling web server. Then protected behind a second firewall after brought into the system. The Department utilizes document level security to guard against unauthorized access. Only departmental staff have access to these files.

47. I am currently putting my email address in the Sender's Email Address field on the "Start Filing Page". Should this email address be the person submitting the filing though the website or should it be the person who signs the Execution Page?

The person submitting a filing at the eFile website should use his/her own email address in the Sender's Email Address on the "Start Filing Page". However, please note that information regarding a particular filing, will go specifically to the person identified in Section 3 of the Execution Page.

48. What happens if we cannot meet a mandated filing deadline because the eFile site is down?

Notify the Department via and the Department will grant an extension for the time the eFile website is down.

49. Can I use Netscape Navigator 4.08 to upload filings at the eFile Website?

No. The Department has found that truncated text files and incomplete filings (not all documents completely transmitted) have resulted from using Netscape Navigator. Please use Internet Explorer when uploading filings at the eFile website.

50. To ensure that my eFiling is not altered, can I password protect the zip file or each individual document to be submitted within the eFiling?

No. The Department returns inaccessible eFilings. Do not password-protect your electronic submission.

Please be assured that documents filed through the Department's eFile Web Portal configured at 128-bit encryption, remain in its original form. The Department's guidelines for transferring plans original eFilings into unalterable .tiff images are secure and confidential.

51. Why does the eFile Web Portal state specific instructions NOT TO DOUBLE CLICK the "send file" button?

The "send button" is a single-click type button. If a plan accidentally double-clicks the "send file" button, this action will automatically erase the Plan Id in the "Plan Id field". As a result, the Department would not be able to identify the origin of the filing.

52. What does it mean to be certified? Does an individual have to be certified or is the plan certified?

To be certified means that Plan designated individuals attended and successfully completed a departmental eFiling training course.

This training course was designed to allow Plans access to a practice eFiling website whereby "mock" eFiling were electronically submitted by the Plan and reviewed by departmental staff.

However, Plans were required to follow a defined process by submitting a series of “mock” eFilings based on specifically outlined criteria.

Then, once the individuals representing the Plan successfully submitted all “mock” scenarios electronically, the eFiling Administrator granted them with "Certification" status.

Even though Plan individual officers and/or staff members attended and successfully completed the Department’s Training and Certification eFiling Course, they were representatives acting on behalf of the whole Plan. Therefore, the Plan as a whole is the entity that is certified.

53. Regarding signatures, am I correct in understanding that once we submit the Electronic Filing Signature Verification Contract, we do not need to worry about signatures on the electronically filed Execution Page? In other words, we will not be embedding an electronic signature anywhere in the eFiling?

Yes, your statement is correct. However, there are a few exceptions regarding electronic document signatures on forms submitted to the Department (e.g. Exhibit F-1-f Template).

54. If this is true, then is it also correct that all we need to do is submit one Electronic Filing Signature Verification Contract regardless of the fact that we have several individuals that can sign for filings under penalty of perjury of law?

No, your statement is not correct. Please submit one Electronic Filing Signature Verification Contract for each individual in your organization who has the authority to sign the Execution Page under penalty of perjury of law for eFiling submissions.

55. Are all plans required to participate in eFiling? What happens if a plan fails to certify or does not wish to do eFilings? Can they continue to file in paper?

Regulation 1300.41.8, adopted early in 2002, states that plans shall file electronically; therefore, all plans are indeed required to file electronically. If a plan does not file electronically pursuant to the regulation, plan noncompliance with the Knox-Keene Act and enforcement action could result. **Paper filings are no longer accepted.**

56. Following the classroom instruction in the eFiling Certification process, what is the expected timeframe for Plans to become certified, so that it can begin electronically submitting filings in accordance to the Knox Keene Act?

Thirty calendar days.

57. Our plan does not normally use .pdf or .tif documents. We imbed everything into Word documents. We have no plans to change. Are we still required to send files in these two formats to the Department during the new plan certification or refresher training process?

No. During the certification testing process, plans should only submit document file types that they intend to electronically submit once certified.

58. After certification, if we find it necessary to file a document that is in Excel (e.g. financial projects that might be filed for material modifications or an Exhibit HH), in what manner would you prefer to receive it?

If you elect not to use the .tif print driver option as explained in the training class, please paste the Excel spreadsheet into a Word document. Be sure you change the format of the Word document to landscape and adjust the margins to the widest setting. This will allow the spreadsheet to be read by our system. Also, please remember to properly barcode these newly converted documents.

Contact the Department

For eFiling assistance, Administrators are available between the business hours of 8:00 a.m. and 5:00 p.m. – Monday through Friday.

For general programmatic eFiling assistance, questions, comments, and/or concerns, please contact:

Angela Rodriguez
Associate Governmental Program Analyst
Department of Managed Health Care
980 9th Street, Suite 500
Sacramento, CA 95814
(916) 324-9048

For technical eFiling assistance, questions, comments, and/or concerns, please contact:

Ed Cheever
Associate Programmer Analyst
Department of Managed Health Care
980 9th Street, Suite 440
Sacramento, CA 95814
(916) 324-8738

Or, by e-mail:

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